

# BAA CPD scheme

## CPD Quality standards

### Standards expected of users of the scheme that will form the basis of CPD audit

The BAA CPD scheme is designed to be compatible with, and mirror the principles of, the Health Professions Council (HPC) requirements for continuing professional development (CPD). (See <http://www.hpc-uk.org/registrants/cpd/>)

The HPC standards for CPD require that their registrants must:

1. maintain a continuous, up-to-date and accurate record of their CPD activities;
2. demonstrate that their CPD activities are a mixture of learning activities relevant to current or future practice;
3. seek to ensure that their CPD has contributed to the quality of their practice and service delivery;
4. seek to ensure that their CPD benefits the service user; and
5. present a written profile containing evidence of their CPD upon request.

BAA adopts and endorses the above standards. Users of the BAA CPD scheme will also be expected to:

- periodically review their skills, knowledge and competence to practice and so identify and, where appropriate, plan their CPD activities rather than rely exclusively on unplanned learning;
- follow and implement the guidance provided for users of the BAA CPD scheme;
- adopt the principle of reflection and reflective evaluation in their CPD;
- be honest in their CPD diary entries, selecting the number of CPD points and an effectiveness index that truly reflect to the best of users' judgement the value of an activity.

It is against the above standards that participants' CPD records will be audited.

BAA CPD Auditors will scrutinise CPD records and either:

- approve a record as meeting the quality standards, or
- refer a record for revision, stating the nature of their concern, or
- reject a record that, following previous referral and the opportunity for revision, continues to fail to meet the quality standards.

An ultimate sanction, following a participant's repeated failure to meet the above quality standards, is for the Chief Auditor to suspend participation in the scheme for a specified period.

Note that HPC registrants who do not use the BAA scheme still need to satisfy HPC requirements in order to maintain their registration status.

## The purpose of CPD Audit and the role of BAA CPD Auditors

The purpose of BAA's CPD Audit is to assist participants in meeting the above standards by scrutinising records and where appropriate:

- providing advice if the participant appears to have misunderstood how to use the BAA CPD scheme
- identifying when a wider range of CPD activities should be undertaken
- giving feedback on the type of activities that are and are not appropriate
- giving feedback on optimising reflective practice and reflective writing
- encouraging participants to engage in a reasonable amount and range of appropriate CPD activity on a regular basis
- discourage participants from making false or exaggerated entries

HPC has stated its intention to randomly select 2.5% of each profession for CPD audit every 2 years. Individuals selected by HPC for audit will have to submit evidence of their CPD activity in a pre-defined format. Instead of relying on the HPC audit or instituting a similar philosophy, BAA feel that its members will be better served if all participants of their CPD scheme receive feedback from BAA CPD auditors on a regular basis without the need for submitting material for this purpose. This is possible because the scheme is web-based, allowing designated Auditors to access the completed records of participants.

BAA CPD Audit is in its infancy and it will be unwise to tightly define and restrict audit policy until the scheme has bedded in, participants have become familiar with its use and auditors have gained experience in common problems and effective solutions. The following therefore represents interim guidance under which Auditors should operate until further notice.

### **What will be included in an Audit?**

#### **CPD items to be audited:**

Completed Learning Needs listed in a member's online CPD record

#### **Audit includes:**

- Evidence of appropriate Learning Needs identified under appropriate Goals
- Evidence of appropriate Activities to meet Learning Needs
- Evidence of appropriate CPD points used
- Evidence of appropriate written reflection and evaluation
- Evidence of appropriate Effectiveness Indicator reflected by written reflection and evaluation
- Evidence of a range of types of CPD

#### **Audit Outcomes**

There will be three outcomes to the audit process.

1. In cases where a participant's CPD record shows evidence of broad understanding of the aims of CPD and displays appropriate documentation and use of CPD points, effectiveness index, reflection and evaluation, then their records should be marked as "Audited". Encouraging comments or other advice may be made at the discretion of the Auditor.

2. In cases where the Auditor believes or suspects that the participant's entries are unsatisfactory in some way, the Auditor should mark the participant's record(s) as "Audited" and add the text: "Revision of record required" together with an appropriate, encouraging and constructive comment (see below). Editing of the record(s) by the participant is enabled (not locked). Revised records will be reviewed at a later stage and their status changed as appropriate. It is suggested that such reviews be undertaken by the Chief Auditor and a confidential record kept.
3. In cases where such a review reveals that a participant's record(s) continue to be unsatisfactory (for example if little or no reflection is documented or the consistent use of a high effectiveness index is claimed), the Chief Auditor may mark the record(s) as "Audited" and add the text: "Does not meet BAA CPD standards" and the record locked (further editing by participant prohibited). A confidential record of such marked CPD records will be kept by the Chief Auditor.

The audit stamp will appear on any paper printout of an audited record. Both the on-screen and printed versions of a CPD record will show the appropriate audit stamp which includes the time, date and Auditor number.

Auditors must treat the CPD records of participants as confidential. For the purposes of this document, "confidential" means that a participant shall not be identified to the public or the BAA membership at large. Individual cases may be discussed between Auditors, the CPD Team, the BAA Professional Development committee, the BAA Membership Board Lead and the BAA Board. If a CPD record contains material suggesting criminal activity or a suspected breach of the "HPC Standards of Conduct, Performance and Ethics", details will be provided via BAA Board to HPC or other appropriate agency.

### **Suggested Audit comment text**

Acceptable records need not attract comments from Auditors. However, Auditors may, at their discretion, add encouraging comments or advice to improve future records. Examples might be:

- Good. You have clearly understood and implemented the CPD scheme. Keep up the good work and encourage your colleagues to do the same!
- Good, though you should consider expanding the detail in your reflection to include how your learning will impact on the services you provide.
- Good, but remember that a typical effectiveness index should be 0.4 – 0.6 and you should reserve higher values for activities that are unusually or remarkably effective in the effect they have on the services you provide.
- Good. Have you considered undertaking a personal development plan to identify and focus your attention on medium to long-term development goals?

In cases where the Auditor suggests a revision of records, comments need to identify the reason(s) for concern and suggest what form of remedial action would be appropriate. Examples include:

- Revision of record required. It is possible you have not understood the basis of this CPD scheme. Please refer to the scheme documentation and examples. In particular, your use of the reflection and evaluation sections is inappropriate. Your record will be re-audited in 3 months and if still unsatisfactory, the record will be marked "Does not meet BAA CPD standards", frozen and will not contribute to your on-line diary.

- Revision of record required. It is possible you have not understood the basis of this CPD scheme. Please refer to the scheme documentation and examples. In particular, your choice of effectiveness index is inappropriate. Your record will be re-audited in 3 months and if still unsatisfactory, the record will be marked "Does not meet BAA CPD standards", frozen and will not contribute to your on-line diary.

All such comments should end with: "If, after consulting the scheme documentation, you feel that this record should have passed the audit process, you may appeal by contacting the Chief Auditor. To do so, email [baacpdteam@coacs.com](mailto:baacpdteam@coacs.com) with "Chief Auditor" as the subject. Alternatively, write to The Chief CPD Auditor at the BAA administrative office.

Auditors should contact the Chief CPD Auditor for advice if unsure about any individual case.

## Audit Process

It is important that BAA can demonstrate a robust audit system to HPC. It is also important that BAA members of the scheme are aware of the audit process to ensure confidence in the scheme. Any such process must be seen to be fair and transparent to all participants.

The audit team will audit 20% of completed audit entries annually with the aim of ensuring all participants have been audited once every five years. The Chief Auditor is responsible for the effective audit of the scheme in conjunction with an appointed audit team. The Audit Moderator will ensure transparency of the audit process. The Auditor Moderator will therefore annually sample 10% of the records that have been audited. They will also review any records that are identified as not meeting BAA CPD standards.

### **Appeal Process (See Audit Flowchart)**

AP 1:1 Where a participant of the scheme exercises his/her right to appeal, a formal letter stating the reasons for the appeal should be sent to the Chief Auditor. The letter should be dated, clear reasons identified and signed by the participant submitting the appeal.

The Chief Auditor will log receipt of the letter and advise the Audit Moderator of the appeal. Confirmation of receipt will be sent within 15 working days to the participant.

AP 1:2 The Chief Auditor will fully review the case for appeal and may discuss the appeal with the CPD Moderator in order to reach a final decision.

AP 1:2:1 Where the Chief Auditor agrees with a participant's appeal, the participant will be advised accordingly in writing, and a copy will be sent to the CPD Moderator.

AP 1:2:2 Where the Chief Auditor's decision is to uphold the original Audit judgement, the participant will be advised accordingly in writing, and a copy will be sent to the CPD Moderator. In the letter, the participant will be given the reasons why the appeal has not been successful.

Where the participant remains dissatisfied with the decision, he/she must notify the Chief Auditor in writing **within 30 days** of the date of the letter from the Chief Auditor. This will be known as Appeal Process Stage 2.

## **Appeal Process Stage 2**

AP 2:1 The Chief Auditor will confirm receipt of appeal in writing to the participant and advise the CPD Moderator that a Stage 2 Appeal has been received. Time will be reserved at the next quarterly meeting of the BAA Professional Development Committee and a final decision will be agreed by the committee. The participant will be sent details of the outcome, and this decision will be final.

AP 2:1:1 Where a decision is found to be in favour of the participant, he/she will be notified in writing.

AP 2:1:2 Where a decision is found to be against the participant, he/she will be informed that failure to comply with the decision could result in their suspension from the BAA CPD Scheme.

AP 2.2 After the Professional Development Committee meeting, the participant will be given 30 days to amend their CPD records in compliance with the meetings' recommendations. If they fail to carry this out a formal letter informing him/her of the suspension date giving 14 days notice will be sent to the participant by the Chief Auditor. After the 14<sup>th</sup> day, the member will have his/her CPD Scheme access disabled. The participant will thereafter be solely responsible for maintaining CPD records in accordance with his/her registration body CPD guidelines.

*There may be repercussions for BAA membership for failing to comply with the HPC Code of Conduct that is adopted as BAA Code of Conduct*

## AUDIT FLOWCHART

